

Navigating the Market Conduct Frontier

Stewart Freilich
Senior Regulatory Affairs Counsel
Jim Mealer
Chief Market Conduct Examiner





Overview

- Introduction
- Market Analysis process
- How your company can manage its Market Conduct risk more effectively
- Tips on moving a Market Conduct action toward conclusion



When navigating the Frontier, lessons from the Corp of Discovery still apply today







The Market Analysis Process

- Baseline analysis
- Level one analysis
- Level two analysis



Environmental scanning through Market Analysis







- Conducting internal analysis
- Conducting external analysis
- Proactively informing regulators of any regulatory issues that occur



Examples of internal analysis



Examples of external analysis



• Proactively informing regulators of any regulatory issues that occur



Concluding Market Conduct Actions



The single biggest problem in the communication process is the illusion that it has taken place... George Bernard Shaw





Concluding Market Conduct Actions

- Tips for the planning phase
- Tips for the fact finding phase
- Tips for the closing phase



Concluding Market Conduct Actions

Tips for the planning phase



Concluding Market Conduct Actions

Tips for the fact finding phase



Concluding Market Conduct Actions

Tips for the closing phase



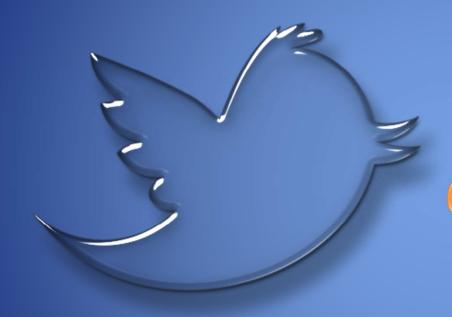


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